

AFWC

PATENT

Docket No. Albert 6-6-5-6-4
(2455-4411US1)

69665 U.S. PTO
06/26/97

71164 U.S. PTO
08/883557
06/26/97

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Herb ALBERT et al Anticipated Classification of this application:
FWC of Serial No. : 08/388,729 Class _____ Subclass _____
For : WIRELESS ADAPTOR AND WIRELESS Prior Application Examiner: B. Zimmerman
FINANCIAL TRANSACTION SYSTEM Group Art Unit: 2211

FILE WRAPPER CONTINUING APPLICATION (FWC)

ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

Sir:

1. Based on the above-identified application, this is a request under the file wrapper continuing application procedure, 37 C.F.R. § 1.62, for filing a

- ☒ Continuation application
- ☐ Divisional application
- ☐ Continuation-in-part application (Inventor(s) Declaration enclosed)

2. The following are enclosed herewith:

- ☒ Preliminary Amendment
- ☐ Inventor(s) Declaration
- ☐ ____ Page(s) of Sequence Listing
- ☐ ____ Computer Disk(s) containing Sequence Listing
- ☐ Statement under 37 C.F.R. § 1.821(f) that Computer and Paper copies of the Sequence Listing are the same.
- ☐ Computer disk containing original Sequence Listing previously submitted with Application Serial No. _____, filed _____.
- ☐ ____ Page(s) of substitute Sequence Listing
- ☐ ____ Computer disk(s) containing substitute Sequence Listing
- ☐ Statement under 37 C.F.R. § 1.825(b) that the computer and paper copies of the substitute Sequence Listing are the same.
- ☐ Other _____.

08883557, 062697

GRF
TO
FOT

3. ☐ Please enter the Amendment/Request For Reconsideration After Final Rejection filed _____ in the above-identified parent application.
4. The status of the parent application Serial No. 08/388,729 is as follows:
- ☒ A Petition for Extension of Time and Fee therefor has been or is being filed in the parent application Serial No. 08/388,729 to extend the time for action in the parent application until June 30, 1997.
5. Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending and has been granted a filing date, so as to make this application co-pending with said parent application. Please use all the contents of the parent application file wrapper, including the drawings, as the basic papers for the new application.

It is understood that secrecy under 35 U.S.C. § 122 is hereby waived to the extent that if information or access is available to any one of the applications in the file wrapper of a 37 C.F.R. § 1.62 application, be it either this application or a prior application in the same file wrapper, the PTO may provide similar information or access to all the other applications in the same file wrapper.

6. ☒ The fees to be charged are to be based on the number of claims:
- a. ☒ remaining after entering the attached Amendment.
- b. ☐ entered in the parent application as of the date of its abandonment.
- c. ☐ remaining after entering the Amendment After Final Rejection filed _____ in the above-identified parent application.

CLAIMS FOR FEE CALCULATION

	Number	Number Extra	Rate for Non-Small Entity	Basic Fee \$770.00
Total*				
Claims	53	-20	33* x \$22.00	\$
Independent				
Claims	3	-3	x \$80.00	\$
Multiple	[X] yes Addt'l Fee			\$260.00
Dependent				
Claims(s)	[] no None			\$260.00

Filing Fee Calculation \$1,030.00

* Extra claims were paid in the parent case.

* Includes all independent and single dependent claims and all claims referred to in multiple dependent claims. See 37 C.F.R. § 1.75(c).

7. ☐ A verified statement that this is a filing by a small entity is attached or has been filed in the above-identified parent application and its benefit under 37 C.F.R. § 1.28(a) is hereby claimed. Reduced fees under 37 C.F.R. § 1.9 (f) (50% of total) paid herewith \$_____.
8. ☐ A check in the amount of \$_____ in payment of the FWC application filing fees is attached.
9. ☒ Charge fee to Deposit Account No. **01-2745**. Order No. Albert 6-6-5-6-4. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
10. ☒ The Assistant Commissioner is hereby authorized to charge any additional fees which may be required for filing this application, or credit any overpayment to Deposit Account No. **01-2745** Order No. Albert 6-6-5-6-4. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
11. ☐ Priority of application Serial No. _____, filed on _____ in _____, is claimed under 35 U.S.C. § 119.
(country)
12. ☒ Amend the specification by inserting before the first line the sentence:

This is a ☒ continuation ☐ divisional ☐ continuation-in-part of co-pending application Serial No. 08/388,729, filed on February 15, 1995.
13. ☐ The parent application is assigned of record to _____.
Recorded on _____, Reel _____, Frame _____.
14. ☐ An assignment of the invention to _____ is attached along with the Assignment Recordation Form cover sheet.
15. ☐ A check in the amount of \$40.00 for recording the Assignment is attached.
16. ☐ The Power of Attorney in the parent application is to _____

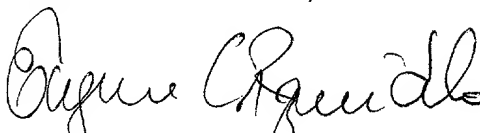
a. ☐ The power was filed in the parent application.
b. ☐ A new power has been executed and is attached.

c. [] Address all future communications to:

AT&T Corp.
200 Laurel Avenue
P.O. Box 4110
Middletown, NJ07748

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.



By: Eugene C. Rzucido
Reg. No. 31,900

Dated: June 26, 1997

Mailing Address:

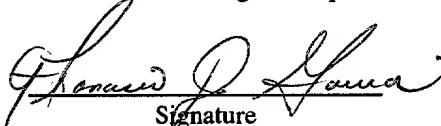
AT&T Corp.
200 Laurel Avenue
Middletown, NJ 07748

EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EI035624810US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on June 26, 1997:

Francisco J. Garcia

Name of Person Mailing Correspondence


Signature

June 26, 1997

Date of Signature

Docket: Albert 6-6-5-6-4
(2455-4411US1)

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Herb ALBERT et al

Group Art Unit : 2211

File Wrapper Continuation of
Serial No. : 08/388,729

Examiner : B. Zimmerman

Filed : June 26, 1997

For : WIRELESS ADAPTOR AND WIRELESS FINANCIAL
TRANSACTION SYSTEM

Assistant Commissioner
for Patents
Washington, D.C. 20231

PRELIMINARY AMENDMENT

SIR:

Prior to examination and calculation of the filing fee,
please amend the present application as follows.

IN THE SPECIFICATION

This application is a continuation of U.S. Patent
Application Serial No. 08/388,729, filed on February 15, 1995.

IN THE CLAIMS

Please cancel claim 60, without prejudice.

Please amend claims 13 and 28 as follows:

13. (Amended) A wireless financial transaction system,
the system comprising;

a financial transaction device compatible with a
public switched telephone system and which transmits financial
signals indicative of the authorization or denial of said
financial transaction, said signals transmitted and received by
said financial transaction device having a first signal format
compatible with said public switched telephone system;

a wireless adaptor coupled to said financial
transaction device to receive said financial signals from said
financial transaction device in said first signal format and to
convert said financial signals from said first signal format to a
second signal format different from said first signal format and
incompatible with said public switched telephone system, said
wireless adaptor also converting said authorization signals from
said second format to said first format and transmitting said
authorization signals in said first format to said financial
transaction device;

a first wireless modem coupled to said wireless
adaptor to communicate with said wireless adaptor using said
second signal format;

a second wireless modem;

a wireless transmission system for transmitting signals from said first wireless modem to said second wireless modem and for transmitting signals from said second wireless modem to said first wireless modem;

a first communications means coupled to said second wireless modem;

a second communications means;

an authorization processor coupled to said second communications means, said authorization processor receiving signals indicative of said financial transaction via said second communications means and transmitting signals indicative of the authorization or denial of said financial transaction via said second communication means; [and]

a host computer coupled to said first communications means and said second communications means, said host computer receiving said signals indicative of said financial transaction from said financial transaction device via said wireless adaptor, said first wireless modem, said wireless transmission system, said second wireless modem and said first communication means, said host computer further transmitting to said authorization processor said signals indicative of said financial transaction via said second communications means, said host computer further receiving said signals indicative of the authorization or denial of said financial transaction from said authorization processor via said second communications means,

said host computer further transmitting said signals indicative of the authorization or denial of said financial transaction to said financial transaction device via said first communication means, said second wireless modem, said wireless transmission system, said first wireless modem and said wireless adaptor[.]; and

wherein said wireless adaptor includes an audio frequency modem to convert said financial signals from said first signal format to digital signals and a processor to process said digital signals to said second signal format for transmission by said first wireless modem, said processor also processing said authorization signals in said second signal format to digital signals for conversion to said first signal format by said audio frequency modem.

28. (Amended) A wireless financial transaction system, said system comprising:

a financial transaction device compatible with a public switched telephone system and which transmits and receives signals indicative of a financial transaction;

a wireless adaptor having an audio frequency modem and coupled to said financial transaction device, said wireless adaptor receiving said signals from and transmitting said signals to said financial transaction device using said audio frequency modem, said wireless adaptor also including a data transmission

interface to receive and transmit digital data signals, said wireless adaptor processing said signals received from said financial transaction device using said audio frequency modem to generate said digital data signals for transmission using said data transmission interface and processing said digital data signals received by said data transmission interface to generate said signals for transmission to said financial transaction device using said audio frequency modem;

a first wireless modem coupled to said data transmission interface of said wireless adaptor;

a second wireless modem;

a wireless transmission system for transmitting signals from said first wireless modem to said second wireless modem and for transmitting signals from said second wireless modem to said first wireless modem;

a first communications means coupled to said second wireless modem;

a second communication means;

a wireless network terminal coupled to said first communications means and said second communications means, said wireless network terminal receiving and transmitting digital data, said wireless network terminal operative to receive said digital data signals from said second wireless modem via said first communications means and re-transmit said digital data signals via said second communications means, said wireless

network terminal being further operative to receive said digital data signals via said second communications means and re-transmit said digital data signals to said second wireless modem via said first communications means;

a third communications means;

an authorization processor coupled to said third communications means, said authorization processor receiving digital data signals indicative of said financial transaction via said third communications means and transmitting digital data signals indicative of the authorization or denial of said financial transaction via said third communications means; [and]

a host computer coupled to said second communications means and said third communications means, said host computer receiving said signals indicative of said financial transaction from said financial transaction device via said wireless adaptor, said first wireless modem, said wireless transmission system, said second wireless modem, said first communications means, said wireless network terminal and said second communications means, said host computer further transmitting to said authorization processor said signals indicative of said financial transaction via said third communications means, said host computer further receiving said signals indicative of the authorization or denial of said financial transaction from said authorization processor via said third communications means, said host computer further

transmitting said signals indicative of the authorization or denial of said financial transaction to said financial transaction device via said second communications means, said wireless network terminal, said first communications means, said second wireless modem, said wireless transmission system, said first wireless modem and said wireless adaptor[.]; and

wherein said wireless adaptor includes an audio frequency modem to convert said financial signals from said first signal format to digital signals and a processor to process said digital signals to said second signal format for transmission by said first wireless modem, said processor also processing said authorization signals in said second signal format to digital signals for conversion to said first signal format by said audio frequency modem.

Please add the following claims 61 to 68.

-- 61. A wireless financial transaction system according to claim 13 or claim 18 wherein said adaptor comprises:
a phone line interface compatible with the financial transaction device;
an audio frequency modem coupled to said phone line interface and operative to convert digital data signals into audio frequency signals, said audio frequency modem further

operative to convert audio frequency signals into digital data signals;

a data transmission interface coupled to the wireless modem, said data transmission interface for transmitting and receiving digital data signals; and

a communications processor coupled to said audio frequency modem for transmission and reception of digital data signals, said communications processor further coupled to said data transmission interface for transmission and reception of digital data signals, said communications processor operative to receive digital data signals from the financial transaction device via said data transmission interface, and said communications processor further operative to receive digital data signals from the wireless modem via said data transmission interface and transmit said digital data signals to the financial transaction device via said audio frequency modem and said phone line interface.

62. The system of claim 13 or claim 28 wherein said phone line interface includes a dial tone generator.

63. The system of claim 13 or claim 28 wherein said phone line interface includes a ringing generator.

64. The system of claim 13 or claim 28 wherein said phone line interface includes a dialed digit detector.

65. The system of claim 13 or claim 28 wherein said data transmission interface comprises a serial port.

66. The system of claim 13 or claim 28 further including a data compression circuit to compress said digital data received from the financial transaction device, said communications processor transmitting compressed digital data to the wireless modem via said data transmission interface.

67. The system of claim 13 or claim 28 further including a data encryption circuit to encrypt said digital data received from the financial transaction device, said communications processor transmitting encrypted digital data to the wireless modem via said data transmission interface.

68. The system of claim 13 or claim 28 further including a data compression circuit to compress said digital data received from the financial transaction device, said communications processor transmitting compressed and encrypted digital data to the wireless modem via said data transmission interface. --.

REMARKS

Applicants urge the Examiner to reconsider and withdraw the rejections maintained in the Advisory Action issued in the parent of the present application (paper no. 12). In the Advisory, the Examiner asserts that the use of a "common wireless adaptor" would have been obvious to the skilled artisan. With all due respect, applicants urge that there is no evidentiary basis for the Examiner's assertion. None of the cited references either teach or suggest a system as presently claimed which includes a wireless adaptor which converts financial signals in a first format from a financial transaction device to a second signal format different from the first signal format and incompatible with a public switched telephone system. Additionally, the cited art does not teach or suggest a system having a wireless adaptor which converts authorization signals from a second format to a first format. There is no teaching or suggestion in the applied prior art of a system having the elements defined in the present claims.

For the above reasons and for the reasons given by applicants in their response to the final rejection in the parent application, applicants urge that the present claims are in condition for allowance. Early and favorable action by the Examiner is earnestly solicited.

Docket No.: Albert 6-6-5-6-4 (2455-4411US1)

If the Examiner believes that issues may be resolved by a telephone interview, the Examiner is respectfully urged to telephone the undersigned at (212) 415-8528. The undersigned may also be contacted by e-mail at ecrzucidlo@morganfinnegan.com.

AUTHORIZATION

No additional fee is believed to be necessary.

The Commissioner is hereby authorized to charge any additional fees which may be required for this amendment, or credit any overpayment to Deposit Account No. **01-2745,**
Albert 6-6-5-6-4.

In the event that an extension of time is required, or which may be required in addition to that requested in a petition for an extension of time, the Commissioner is requested to grant a petition for that extension of time which is required to make this response timely and is hereby authorized to charge any fee for such an extension of time or credit any overpayment for an

Docket No.: Albert 6-6-5-6-4 (2455-4411US1)

extension of time to Deposit Account No. **01-2745**, Order No.

Albert 6-6-5-6-4. A DUPLICATE OF THIS SHEET IS ATTACHED.

Respectfully submitted,

MORGAN & FINNEGAN



By: Eugene C. Rzucidlo
Reg. No. 31,900

Dated: June 26, 1997

AT&T Corp.
200 Laurel Avenue
Middletown, NJ 07748

EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EI 035624810US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on June 26, 1997:

Francisco J. Garcia

Name of Person Mailing Correspondence


Signature

June 26, 1997
Date of Signature